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Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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|   |  |                            |
|---|--|----------------------------|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b)) | Attorney Docket No.                      | 00093                      |
|   | First Inventor or Application Identifier | Matyjaszewski              |
|   | Title                                    | Catalytic Processes for... |
|   | Express Mail Label No.                   | EI164524710US              |

|   |  |
|---|--|
| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents.   | <b>ADDRESS TO:</b><br>Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, DC 20231   |
| 1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17)<br>(Submit an original and a duplicate for fee processing)  | 5. <input type="checkbox"/> Microfiche Computer Program (Appendix)   |
| 2. <input checked="" type="checkbox"/> Specification [Total Pages 180]<br>(preferred arrangement set forth below) <ul style="list-style-type: none"><li>- Descriptive title of the Invention</li><li>- Cross References to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to Microfiche Appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> | 6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission<br>(if applicable, all necessary) <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Computer Readable Copy</li><li>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</li><li>c. <input type="checkbox"/> Statement verifying identity of above copies</li></ul> |
| 3. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 17]  | <b>ACCOMPANYING APPLICATION PARTS</b>  |
| 4. Oath or Declaration [Total Pages ] <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Newly executed (original or copy)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d))<br/>(for continuation/divisional with Box 16 completed)<ul style="list-style-type: none"><li>i. <input type="checkbox"/> DELETION OF INVENTOR(S)<br/>Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</li></ul></li></ul>  | 7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))  |
|   | 8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement of Power of Attorney<br>(when there is an assignee)  |
|   | 9. <input type="checkbox"/> English Translation Document (if applicable)   |
|   | 10. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 [39] Copies of IDS Citations   |
|   | 11. <input type="checkbox"/> Preliminary Amendment   |
|   | 12. <input type="checkbox"/> Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized)   |
|   | 13. <input type="checkbox"/> * Small Entity Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)   |
|   | 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)   |
|   | 15. <input type="checkbox"/> Other: _____  |

**NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.26).**

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

|         |  |           |              |          |              |
|---------|--|-----------|--------------|----------|--------------|
| Name    | Christine R. Ethridge  |           |              |          |              |
| Address | Kirkpatrick & Lockhart LLP<br>Henry W. Oliver Building, 535 Smithfield St. |           |              |          |              |
| City    | Pittsburgh   | State     | PA           | Zip Code | 15222-2312   |
| Country | United States  | Telephone | 412-355-8619 | Fax      | 412-355-6501 |

|                   |                              |                                   |                |
|-------------------|------------------------------|-----------------------------------|----------------|
| Name (Print/Type) | Christine R. Ethridge        | Registration No. (Attorney/Agent) | 30,557         |
| Signature         | <i>Christine R. Ethridge</i> | Date                              | March 23, 2000 |

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102105

18351 U.S. PTO

PTO/SB/17 (12/99)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL  
for FY 2000**

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.TOTAL AMOUNT OF PAYMENT (\$)**9906.00****Complete if Known**

|                      |               |
|----------------------|---------------|
| Application Number   |               |
| Filing Date          | 3/23/00       |
| First Named Inventor | Matyjaszewski |
| Examiner Name        |               |
| Group / Art Unit     |               |
| Attorney Docket No.  | 00093         |

**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **11-1110**Deposit Account Name **Kirkpatrick & Lockhart**

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- Charge Any Additional Fee Required
- 
- Under 37 CFR §§ 1.16 and 1.17

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity  |               | Small Entity  |               | Fee Description        | Fee Paid |
|---------------|---------------|---------------|---------------|------------------------|----------|
| Fee Code (\$) | Fee Code (\$) | Fee Code (\$) | Fee Code (\$) |                        |          |
| 101           | 690           | 201           | 345           | Utility filing fee     | 690      |
| 106           | 310           | 206           | 155           | Design filing fee      |          |
| 107           | 480           | 207           | 240           | Plant filing fee       |          |
| 108           | 690           | 208           | 345           | Reissue filing fee     |          |
| 114           | 150           | 214           | 75            | Provisional filing fee |          |

SUBTOTAL (1) (\$)**690****2. EXTRA CLAIM FEES**

| Total Claims |                    | Extra Claims  |               | Fee from below |               | Fee Paid      |               |
|--------------|--------------------|---------------|---------------|----------------|---------------|---------------|---------------|
| Independent  | Multiple Dependent | Fee Code (\$) | Fee Code (\$) | Fee Code (\$)  | Fee Code (\$) | Fee Code (\$) | Fee Code (\$) |
| 285          | -20**              | 265           | 18            | 4770           |               |               |               |
| 60           | -3**               | 57            | 78            | 4446           |               |               |               |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Entity  |               | Small Entity  |               | Fee Description  |
|---------------|---------------|---------------|---------------|--|
| Fee Code (\$) | Fee Code (\$) | Fee Code (\$) | Fee Code (\$) |  |
| 103           | 18            | 203           | 9             | Claims in excess of 20                                     |
| 102           | 78            | 202           | 39            | Independent claims in excess of 3                          |
| 104           | 260           | 204           | 130           | Multiple dependent claim, if not paid                      |
| 109           | 78            | 209           | 39            | ** Reissue independent claims over original patent         |
| 110           | 18            | 210           | 9             | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)**9906.00****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity  |               | Small Entity  |               | Fee Description  | Fee Paid |
|---------------|---------------|---------------|---------------|--|----------|
| Fee Code (\$) | Fee Code (\$) | Fee Code (\$) | Fee Code (\$) |  |          |
| 105           | 130           | 205           | 65            | Surcharge - late filing fee or oath  |          |
| 127           | 50            | 227           | 25            | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 139           | 130           | 139           | 130           | Non-English specification  |          |
| 147           | 2,520         | 147           | 2,520         | For filing a request for reexamination                                     |          |
| 112           | 920*          | 112           | 920*          | Requesting publication of SIR prior to Examiner action                     |          |
| 113           | 1,840*        | 113           | 1,840*        | Requesting publication of SIR after Examiner action                        |          |
| 115           | 110           | 215           | 55            | Extension for reply within first month                                     |          |
| 116           | 380           | 216           | 190           | Extension for reply within second month                                    |          |
| 117           | 870           | 217           | 435           | Extension for reply within third month                                     |          |
| 118           | 1,360         | 218           | 680           | Extension for reply within fourth month                                    |          |
| 128           | 1,850         | 228           | 925           | Extension for reply within fifth month                                     |          |
| 119           | 300           | 219           | 150           | Notice of Appeal   |          |
| 120           | 300           | 220           | 150           | Filing a brief in support of an appeal                                     |          |
| 121           | 260           | 221           | 130           | Request for oral hearing   |          |
| 138           | 1,510         | 138           | 1,510         | Petition to institute a public use proceeding                              |          |
| 140           | 110           | 240           | 55            | Petition to revive - unavoidable   |          |
| 141           | 1,210         | 241           | 605           | Petition to revive - unintentional   |          |
| 142           | 1,210         | 242           | 605           | Utility issue fee (or reissue)   |          |
| 143           | 430           | 243           | 215           | Design issue fee   |          |
| 144           | 580           | 244           | 290           | Plant issue fee  |          |
| 122           | 130           | 122           | 130           | Petitions to the Commissioner  |          |
| 123           | 50            | 123           | 50            | Petitions related to provisional applications                              |          |
| 126           | 240           | 126           | 240           | Submission of Information Disclosure Stmt                                  |          |
| 581           | 40            | 581           | 40            | Recording each patent assignment per property (times number of properties) |          |
| 146           | 690           | 246           | 345           | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149           | 690           | 249           | 345           | For each additional invention to be examined (37 CFR § 1.129(b))           |          |

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**SUBMITTED BY**

|                   |                              |                                   |                |           |              |
|-------------------|------------------------------|-----------------------------------|----------------|-----------|--------------|
| Name (Print/Type) | Christine R. Ettridge        | Registration No. (Attorney/Agent) | 30,557         | Telephone | 412/355-8619 |
| Signature         | <i>Christine R. Ettridge</i> | Date                              | March 23, 2000 |           |              |

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 09/534,827  
First Named Inventor : Krzysztof Matyjaszewski  
Filing Date : March 23, 2000  
TC/A.U. : 1713  
Examiner : Not yet assigned

Docket No. : 00093  
Customer No. : 26285

**Mail Stop: Reconstruction  
Commissioner for Patents  
P.O. Box: 1450  
Alexandria, VA 22313-1450**

## EXPRESS MAIL CERTIFICATE

"Express Mail" label number EQ085320011US

Date of Deposit October 21, 2005

I hereby certify that the following attached paper or fee:

Utility Application Transmittal dated March 23, 2000  
Fee Transmittal dated March 23, 2000  
Specification  
17 Sheets of Informal Drawings  
Information Disclosure Statement, Form PTO 1449 filed on March 23, 2000  
Express Mail Label dated March 23, 2000  
Return postcard from PTO acknowledging receipt and indication of serial number  
Filing Receipt dated May 31, 2000  
License for foreign filing dated May 31, 2000  
Notice to File Missing Parts of Nonprovisional application dated May 31, 2000  
37 CFR § 3.73(b) Statement filed June 8, 2000  
Recordation Form Cover Sheet Form 1619 A-C filed June 8, 2000  
Assignment of Invention (Multiple Inventors) filed June 8, 2000  
Notice of Recordation of Assignment Document dated June 15, 2000  
Completion of Filing Requirements including Declaration of Inventors dated July 31, 2000  
Notice of Recordation of Assignment Document dated October 3, 2000  
Status Inquiry dated June 21, 2002  
Status Inquiry dated September 26, 2003  
Information Disclosure Statement, Form PTO/SB/08A dated February 10, 2004  
Status Inquiry dated November 5, 2004  
Certified true copy of Recordation of Assignment  
Letter to Certification Branch: Copy Fulfillment  
References (except for U.S. Patent Documents)  
Notice Under 37 CFR 1.251 Pending Application  
Signed Notice under 37 CFR 1.251 Pending Application  
Preliminary Amendment

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: **Mail Stop: Reconstruction, Commissioner for Patents, P.O. Box: 1450, Alexandria, VA 22313-1450**

Beth H. Retort

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(Signature of person mailing paper or fee)

(Express Mail Certificate [8-3])

S.N. \_\_\_\_\_ Docket No. 00093

Title: Catalytic Processes for  
the Controlled Polymerization...

The PTO acknowledges, and has stamped hereon,  
the date of receipt of the below items, which were  
mailed 3-23-00:

- ☒ New Pat. Appl. Trans. (2x)
- ☒ Transmittal Letter
- ☐ PCT Request and fee calc. sheet
- ☒ Specification
- ☒ 17 sheets of informal drawings
- ☐ \_\_\_\_\_ sheets of formal drawings
- ☐ Combined Dec. & POA
- ☐ Oath/App. of Agent
- ☐ Ver. Statement Cl. Sm. Ent. Status
- ☐ Assignment
- ☐ Amendment Transmittal (2x)
- ☐ Amendment
- ☐ Declaration(s)
- ☐ Affidavit(s)
- ☒ Information Disclosure Statement
- ☒ Form PTO 1449
- ☒ \_\_\_\_\_ References
- ☐ Priority claim
- ☐ Priority document
- ☐ Notice of Appeal
- ☐ Issue Fee
- ☐ PTO Forms 85(b) and (c)
- ☒ check

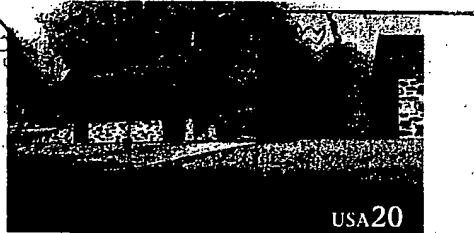
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**KIRKPATRICK & LOCKHART, LLP**

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**Pittsburgh, PA 15222**

**ATTN: Terri J. Watson**

**26**





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